

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

SECURITIES AND EXCHANGE
COMMISSION,

Plaintiffs,

v.

OPPENHEIMER & CO., INC.,

Defendant.

No. 1:22-cv-7801 (JPC)

CORPORATE DISCLOSURE STATEMENT

Pursuant to Federal Rule of Civil Procedure 7.1 and to enable District Judges and Magistrate Judges of the Court to evaluate possible disqualification or recusal, the undersigned counsel for Oppenheimer & Co., Inc. (“Oppenheimer” or “Defendant”) certifies that the ultimate parent company of Oppenheimer is Oppenheimer Holdings Inc., which is a publicly traded company.

Dated: November 14, 2022

Respectfully submitted,

/s/ Nathaniel J. Kritzer

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